



CHILD CARE AND DEVELOPMENT FUND PLAN

FOR

FFY 2006-2007

This Plan describes the CCDF program to be conducted by the State for the period 10/1/05 – 9/30/07. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including changing the options selected or described herein.

The official text of the applicable laws and regulations govern, and the Lead Agency acknowledges its responsibility to adhere to them regardless of the fact that, for purposes of simplicity and clarity, the specific provisions printed herein are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text.

Public reporting burden for this collection of information is estimated to average 162.57 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

(Form ACF 118 Approved OMB Number: 0970-0114 expires 05-31-2006)

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AMENDMENTS LOG

Child Care and Development Services Plan for
For the period: 10/1/05 -- 9/30/07

SECTION AMENDED	EFFECTIVE/ PROPOSED EFFECTIVE DATE	DATE SUBMITTED TO ACF	DATE APPROVED BY ACF

Instructions:

- 1) Lead Agency completes the first 3 columns and sends a photocopy of this Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional contact. A copy of the Log, showing the latest amendment pending in ACF, is retained in the Lead Agency's Plan.
- 2) ACF completes column 4 and returns a photocopy of the Log to the grantee.
- 3) The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

Note: This process depends on repeated subsequent use of the same Log page over the life of the Plan. At any time the Log should reflect all amendments, both approved and pending in ACF. The Lead Agency is advised to retain those "old" plan pages that are superseded by amendments in a separate appendix to its Plan.

PART 1 **ADMINISTRATION**

The agency shown below has been designated by the Chief Executive Officer of the State (or Territory), to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto. (658D, 658E)

1.1 Lead Agency Information (as designated by State chief executive officer)

Name of Lead Agency: Department of Workforce Services
Address of Lead Agency: 140 E 300 S, Salt Lake City, UT 84111
Name and Title of the Lead Agency's Chief Executive Officer: Tani Pack-Downing,
Executive Director, Department of Workforce Services
Phone Number: 801.526.9210
Fax Number: 801.526.9211
E-Mail Address: tdowning@utah.gov
Web Address for Lead Agency (if any):

1.2 State Child Care (CCDF) Contact Information (day-to-day contact)

Name of the State Child Care Contact (CCDF): Lynette Rasmussen
Title of State Child Care Contact: Director, Office of Work and Family Life
Address: 140 E 300 S, Salt Lake City, UT 84111
Phone Number: 801.526.4340
Fax Number: 801.526.4349
E-Mail Address: lrasmussen@utah.gov
Phone Number for child care subsidy program information (for the public) (if any):
Web Address for child care subsidy program information (for the public) (if any):

1.3 Estimated Funding

The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period: October 1, 2005 through September 30, 2006. (§98.13(a))

CCDF: \$ 37,699,563
Federal TANF Transfer to CCDF: \$0
Direct Federal TANF Spending on Child Care: \$0
State CCDF Maintenance of Effort Funds: \$4,474,923
State Matching Funds: \$1,100,000
Total Funds Available: \$ 43,274,486

1.4 Estimated Administration Cost

The Lead Agency estimates that the following amount (and percentage) of Federal CCDF and State Matching Funds will be used to administer the program (not to exceed 5 percent): \$ 1,884,978 (<5 %). (658E(c)(3), §§98.13(a), 98.52)

1.5 Administration of the Program

Does the Lead Agency directly administer and implement all services, programs and activities funded under the CCDF Act, including those described in Part 5.1 – Activities & Services to Improve the Quality and Availability of Child Care, Quality Earmarks and Set-Aside?

Yes. Skip questions 1.6 and 1.7. Go to Section 1.8.

No, and the following describes how the Lead Agency maintains overall control when services or activities are provided through other agencies: (658D(b)(1)(A), §98.11)

- X The Department of Workforce Services/Office of Child Care contracts with other state and non-profit agencies for the delivery of services. Those agencies will be listed in sections requesting a description of specific activities.

All contracts are monitored on a quarterly basis. Contract monitoring is conducted using the Scope of Work outlined in the contract as a baseline. As required in the Block Grant, the Department of Workforce Services/Office of Child Care (lead agency) requires each contractor to submit a quarterly progress report. Quarterly reports are developed and based upon identified and measured outcomes and outputs.

Both inter-agency contracts and community-based contracts are secured with the support of the State of Utah/Department of Workforce Service's procurement processes.

1.6 Determining Eligibility

For child care services funded under §98.50 (e.g., certificates, vouchers, grants/contracts for slots based on individual eligibility), does the Lead Agency itself: (§98.11)

- Determine individual eligibility of non-TANF families?
X Yes.
☐ No. If no, identify the name and type of agency that determines eligibility of non-TANF families for child care:

- Determine individual eligibility of TANF families?
☒ Yes.
☐ No. If no, identify the name and type of agency that determines eligibility of TANF families for child care:

- Assist parents in locating child care?
☐ Yes.
☒ No. If no, identify the name and type of agency that assists parents: The Office of Child Care contracts with six local agencies to provide child care resource and referral services.

- Make payments to providers and/or parents?
☒ Yes.
☐ No. If no, identify the name and type of agency that makes payments:

1.7 Non-Governmental Entities

Is any entity named in response to section 1.6 a non-governmental entity? (658D(b), §§98.10(a), 98.11(a))

- ☒ Yes, and the following entities named in 1.6 are non-governmental: The local CCR&R agencies receive CCDF funds via contract to administer child care referral services. Four of the contracts are held by either a local college or university (Weber State, College of Eastern Utah, Utah State University and Utah Valley State College). One contract is based at an association of governments (Five County AOG) and the other is held by a private non-profit agency (Children's Service Society of Utah).
- ☐ No.

1.8 Use of Private Donated Funds

Will the Lead Agency use private donated funds to meet a part of the matching requirement of the CCDF pursuant to §98.53(e)(2) and (f)?

- ☒ Yes. The name and type of entity designated to receive private donated funds is:
Name: State of Utah Treasurer/Office of Child Care Trust Fund
Address: State Capitol, room 215, Salt Lake City, UT 84114
Contact: Robert Kirk
Type (see section 1.6 of the guidance):
The Office of Child Care Trust Fund is maintained by the State of Utah Treasurer's Office. The fund is part of the state Office of Child Care, but is not a 501 (c)(3) corporation.

☐ No.

1.9 Use of State Pre-Kindergarten (Pre-K) Expenditures for CCDF-Eligible Children

1.9.1 During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF maintenance of effort (MOE) requirement?

☐ Yes, and:

() The State assures that its level of effort in full day/full year child care services has not been reduced, pursuant to §98.53(h)(1).

(%) Estimated % of the MOE requirement that will be met with pre-K expenditures.

If the State uses Pre-K expenditures to meet more than 10% of the MOE requirement, the following describes how the State will coordinate its Pre-K and child care services to expand the availability of child care (§98.53(h)(4)):

X No.

1.9.2 During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF Matching Fund requirement? (§98.53(h))

☐ Yes, and

(%) Estimated % of the Matching Fund requirement that will be met with pre-K expenditures.

If the State uses Pre-K expenditures to meet more than 10% of the Matching Fund requirement, the following describes how the State will coordinate its Pre-K and child care services to expand the availability of child care (§98.53(h)(4)):

X No.

1.9.3 If the State answered yes to 1.9.1 or 1.9.2, the following describes State efforts to ensure that pre-K programs meet the needs of working parents: (§98.53(h)(2))

Does not apply

1.10 Improper Payments

1.10.1 How does the Lead Agency define improper payments?

Improper payments are defined as a payment received by a customer for which he/she is not eligible; and/or the customer receives a payment he/she is eligible for but receives the wrong amount; and/or the customer should have received a payment but was denied or their case was closed in error.

1.10.2 Has your State developed strategies to prevent, measure, identify, reduce and/or collect improper payments? (§98.60(i), §98.65, §98.67)

☒ Yes, and these strategies are:

The State of Utah has developed tools to help prevent improper payments. These include procedures and checklists which give step-by-step processes to determine eligibility. We have also implemented an edit process (see 1.10.3) to identify trends. This information is then used to educate and train staff on problematic areas. We also have investigators who investigate cases as needed.

At each recertification, workers review past child care to verify that the customer was eligible for child care assistance. At any time, when an improper payment is discovered, a referral is made to a Payment Specialist for calculation. The Department also has a collections unit to adjudicate and collect any improper payments.

☐ No. If no, are there plans underway to determine and implement such strategies?

☐ Yes.

☐ No.

1.10.3 Has your State developed strategies to identify errors in the determination of client eligibility?

☒ Yes, and these strategies are:

☐ No. If no, are there plans underway to determine and implement such strategies?

☐ Yes.

☐ No.

The State of Utah also has a case edit process in place for both new and experienced workers. A new worker is on 100% case edit for the first 3 months. These edits are conducted before any benefits are authorized. During month 4-11, the new workers have 50% of their cases edited. Experienced workers are edited 6 times a month by their supervisor. These edits are targeted edits that can be for either child care, food stamps, or financial. All edits are pulled at random, and each supervisor has one case pulled per month to ensure that the supervisory edits are being conducted correctly.

The 100% edit process for new workers, allows for the State to have a proactive approach to eliminating errors while the new worker learns the eligibility process. The editing process for the experienced workers allows for supervisors to address and act on problems so that mistakes are not made in the future.

PART 2 **DEVELOPING THE CHILD CARE PROGRAM**

2.1 Consultation and Coordination

2.1.1 Lead Agencies are required to *consult* with appropriate agencies and *coordinate* with other Federal, State, local, tribal (if applicable) and private agencies providing child care and early childhood development services (§98.12, §98.14(a),(b), §98.16(d)). Indicate the entities with which the Lead Agency has consulted or coordinated (as defined below), by checking the appropriate box(es) in the following table.

Consultation involves the participation of an appropriate agency in the development of the State Plan. At a minimum, Lead Agencies must consult with representatives of general purpose local governments (noted by the asterisk in the chart below).

Coordination involves the coordination of child care and early childhood development services, including efforts to coordinate across multiple entities, both public and private (for instance, in connection with a State Early Childhood Comprehensive System (SECCS) grant or infant-toddler initiative). At a minimum, Lead Agencies must coordinate with (1) other Federal, State, local, Tribal (if applicable), and/or private agencies responsible for providing child care and early childhood development services, (2) public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health), (3) employment services / workforce development, (4) public education, and (5) Temporary Assistance for Needy Families (TANF), and (5) any Indian Tribes in the State receiving CCDF funds (noted by the asterisks in the chart below).

	Consultation	Coordination
• Representatives of local government	<input checked="" type="checkbox"/> *	<input type="checkbox"/>
• Indian Tribes/Tribal Organizations, when such entities exist within the boundaries of the State	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Other Federal, State, local, Tribal (if applicable), and private agencies providing child care and early childhood development services.	<input type="checkbox"/>	<input checked="" type="checkbox"/> *
• State/Tribal agency (agencies) responsible for		
○ Public health	<input type="checkbox"/>	<input checked="" type="checkbox"/> *
○ Employment services / workforce development	<input type="checkbox"/>	<input checked="" type="checkbox"/> *
○ Public education	<input type="checkbox"/>	<input checked="" type="checkbox"/> *
○ TANF	<input type="checkbox"/>	<input checked="" type="checkbox"/> *
○ State pre-kindergarten programs	<input type="checkbox"/>	<input type="checkbox"/>
○ Head Start programs	<input checked="" type="checkbox"/>	<input type="checkbox"/>
○ Programs that promote inclusion for children with special needs	<input checked="" type="checkbox"/>	<input type="checkbox"/>

	Consultation	Coordination
• Other (See guidance):	<input type="checkbox"/>	<input type="checkbox"/>

* Required.

For each box checked above, (a) identify the agency providing the service and (b) describe the consultation and coordination efforts, if any. Descriptions must be provided for any consultation or coordination required by statute or regulation.

Child Care Professional Development Institute
Department of Health, Bureau of Facility Licensing-Child Care Unit
Department of Health, Bureau of Maternal and Child Health
*Department of Health, Early Intervention Baby Watch** (By statute, the CCDF State Administrator is a member of the early intervention advisory committee)
Department of Workforce Services State and Regional Councils
Department of Workforce Services, Office of Child Care
Department of Workforce Services, Operations Support Division, TANF
Early Childhood Council
Five County-Association of Governments
*Office of Child Care Advisory Committee** (Membership created in statue)
Office of the Governor of the State of Utah
Piute Tribe CCDF Office
Professional Family Child Care Association
Salt Lake Community Action Program
Salt Lake Community College
United Way of the Greater Salt Lake
Utah Association for the Education of Young Children
Utah Association of Child Care Resource and Referral Agencies
Utah Business Magazine
Utah Children
Utah Commission for Women and Families
Utah Family Center/PTA
Utah Head Start Association
Utah Marriage Commission
Utah Private Child Care Association
Utah State Office of Education – Pre-K Transition/Literacy Specialist
Utah State Office of Education – Child and Adult Food Program
Utah State University

Description of consultation and/or coordination:

Office of Child Care staff routinely work with the agencies listed above. This collaboration takes many forms from serving on advisory committees as a contributing member to organizing community based focus groups to discuss current child care topics. The Office of Child Care may have a contract for specific services with some of the agencies listed above.

2.1.2 State Plan for Early Childhood Program Coordination. *Good Start, Grow Smart* encourages States to develop a plan for coordination across early childhood programs. Indicate which of the following best describes the current status of the State's efforts in this area.

- ☐ **Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated, and how the plan is expected to support early language, literacy, pre-reading and early math concepts.
- ☐ **Developing.** A plan is being drafted. The draft is included as Attachment _____
- ☐ **Developed.** A plan has been written but has not yet been implemented. The plan is included as Attachment _____
- ☒ **Implementing.** A plan has been written and is now in the process of being implemented. The plan is included as Attachment _____
- ☐ **Other (describe):**

Describe the progress made by the State planning for coordination across early childhood programs since the date of submission of the 2004-2005 State Plan.

The Office of Child Care, the State Office of Education and the Utah Family Center are working collaboratively on the implementation phase of Utah's early learning guidelines. The Office of Child Care has a formal Memorandum of Understanding with the education office at addresses the formal guidelines document. The Utah Family Center will use this document to write a public awareness piece for parents. The Office of Child Care will use the document as a baseline for specifically written training for child care providers.

Indicate whether there is an entity that is responsible for ensuring that such coordination occurs. Indicate the four or more early childhood programs and/or funding streams that are coordinated and describe the nature of the coordination.

There is not a single entity responsible to ensuring coordination occurs. The Office of Child Care has been taking the lead as part of our charge from the Child Care Bureau. As a matter of business, the Office of Child Care coordinates with Head Start in sharing training and Career Ladder funds. The Office of Child Care director is the co-chair of State Early Childhood Comprehensive System (SECCS) team. The office coordinates with the Early Intervention Baby Watch and Infant/Toddler Mental Health programs in Utah. After-School Utah Association is taking the lead in writing for the Mott Foundation Grant in collaboration with the 21st Century Community Learning Center grant and the Utah State Office of Education. The director of the Child and Adult Food Program is a member of the Office of Child Care Advisory Committee.

Describe the **results** or expected results of this coordination. Discuss how these results relate to the development and implementation of the State's early learning guidelines, plans for professional development, and outcomes for children.

We expect to continue to have improved communication and coordination among our programs. The Early Childhood Council is currently working to identify specific outcome measures for key early childhood indicators.

Describe how the State's plan supports or will support continued coordination among the programs. Are changes anticipated in the plan?

There are no anticipated changes for this plan.

2.2 Public Hearing Process

Describe the Statewide public hearing process held to provide the public an opportunity to comment on the provision of child care services under this Plan. (658D(b)(1)(C), §98.14(c)) At a minimum, the description must provide:

Date(s) of statewide notice of public hearing: *May 30 and June 20, 2005*

Manner of notifying the public about the statewide hearing: *Printed in Public Notice Section of State and Local Newspapers through out the State and posted on OCC website. Comments will be taken via website, mail and during the public hearing.*

Date(s) of public hearing(s): *June 23, 2005*

Hearing site(s): *Salt Lake City, Logan and Cedar City, Utah via video conference.*

How the content of the plan was made available to the public in advance of the public hearing(s): *Copies of the State Plan for CCDF Services were available on the Office of Child Care website or by calling to receive a copy. This was mentioned in the announcement of the public hearing.*

A brief summary of the public comments from this process is included as Attachment

_____.

2.3 Public-Private Partnerships

Describe (1) the activities, including planned activities, to encourage public-private partnerships that promote private-sector involvement in meeting child care needs, and (2) the results or expected results of these activities. (658D(b)(1), §98.16(d))

*Office of Child Care Advisory Committee. The Office of Child Care has a legislatively created Advisory Committee comprised of 23 members. For a complete list of the committee members, **see Attachment A.** Committee members include state agency and community representatives. As representatives of the child care community, the Advisory Committee advises the office on community child care issues to insure appropriate child care policy is*

developed and appropriate grant processes and procedures are in place. The Advisory Committee has established sub-committees to address topic areas and to address specific projects. The sub-committees are:

*Executive Committee (comprised of committee chairs)
Program Planning
Public Awareness
Payment-to-Parent*

Best Companies to Work For Awards. *The Utah Work/Life Award was created in 1998. The award recognizes Utah businesses that excel in creating and offering work/life programs to their employees. The award has evolved over the six years since its inception. The vision of the award is two-fold. First, the Award is designed to publicly honor those companies that go above and beyond to create sustainable workplace cultures that provide meaningful support to employees, their families and their communities. Second, the Award serves to create an educational community of practice, which allows companies to learn from the award process itself and to share best practices with each other.*

In 2004, a partnership was formed between the Department of Workforce Services/Office of Child Care [DWS/OCC] and Utah Business Magazine [UBM] The purpose of the partnership is to merge the Department of Workforce Service's Work/Life Award and the Utah Business Magazine's "Best Companies to Work For" Award.

DWS/OCC views this partnership as a mutually beneficial opportunity. The DWS/OCC Work/Life Award has developed a strong reputation in the past six years, and brings a high degree of integrity, a broad community of actively involved business participants and a rigorous application process to the table. Combining these strengths with the brand strength of UBM's "Best Companies to Work for" and its credibility, journalistic vigor and far-reaching audience will serve to expand the reach of the combined Awards, proactively elevating it to the next level.

Child Care Professional Development Institute (CCPDI). *The Professional Development Institute is located at Salt Lake Community College. CCPDI works with a team of early childhood professionals to review current Career Ladder classes and to provide constructive feedback for improvement. CCPDI is also creating a comprehensive master trainer curriculum. CCPDI works collaboratively with the office to further the Office of Child Care Professional Development initiatives.*

Annual Professional Development Conference:

In collaboration with Utah's six statewide provider associations, Utah hosts an annual Professional Development Conference.

- *The goals of the conference are:*
 - To acknowledge providers for their professional development and service accomplishments.*
 - To share information about child care programs and services.*
 - To offer fun and useful training on a variety of topics relevant to child care providers.*

-To offer Utah's provider associations an opportunity to work together on a collaborative project.

Head Start. *The Utah Office of Child Care will continue to support Head Start and Early Head Start programs. Training collaboration is already taking place. The office continues to explore ways to make CCDF and Head Start eligibility requirements more compatible.*

Private Child Care Associations. *The Office of Child Care collaborates with Utah child care provider associations to deliver training. The office provides financial support to local associations for training and accreditation initiatives. The office will also continue to work collaboratively with Utah's child care provider association to host Utah's Professional Development Conference each spring.*

Care About Child Care. *The Office of Child Care continues to support the Care About Child Care public awareness/media campaign. The campaign is intended to make people aware of the role quality child care can play in early childhood development. The campaign is designed to emphasize the benefits of quality child care and help parents find and evaluate the care available to their children. In the Fall 05, the campaign will focus on the early learning guidelines in collaboration with the State Office of Education.*

Office of Work and FamilyLife. *The Department of Workforce Services has a tremendous opportunity to adopt a holistic approach while addressing the range of work and family needs. We propose that the Commission for Women and Families, the Marriage Commission and the Office of Child Care be brought together under an umbrella entity called the Office of Work and Family Life with one director.*

This coordination provides an opportunity to reduce the size of government, integrate services and reduce overall operating costs while retaining the ability to meet the stated mission of the three independent offices.

This newly created office will have a strategic planning meeting on June 28, 2005 to further develop its mission/vision.

PART 3

CHILD CARE SERVICES OFFERED

3.1 Description of Child Care Services

3.1.1 Certificate Payment System

Describe the overall child care certificate process, including, at a minimum:

- (1) a description of the form of the certificate (98.16(k));
- (2) a description of how the certificate program permits parents to choose from a variety of child care settings by explaining how a parent moves from receipt of the certificate to choice of the provider; (658E(c)(2)(A)(iii), 658P(2), 98.2, 98.30(c)(4) & (e)(1) & (2)) and
- (3) if the Lead Agency is also providing child care services through grants and contracts, estimate the mix of §98.50 services available through certificates versus grants/contracts, and explain how it ensures that parents offered child care services are given the option of receiving a child care certificate. (98.30(a) & (b)) This may be expressed in terms of dollars, number of slots, or percentages of services.

Utah operates a certificate program for child care expenses to eligible parents. Child care providers must either meet state licensing rules or, if not required to be licensed by state law, sign the License Exempt Registration/Health and Safety Certification (Attachment G). The Lead Agency has established the residential certificate as the minimum health and safety standard for non-relative, private home providers. Exceptions to this requirement and/or a grace period to obtain a residential certificate may be approved on a case-by-case basis, not to exceed 3 months.

Parents are advised during the eligibility interview that they may choose their own child care provider. Eligible families may choose child care services from providers who are licensed or providers who meet minimum health and safety standards as described above. Parents are encouraged to choose child care arrangements that best meet the family needs. Parents are referred to the local CCR&R when assistance is needed in locating child care. If parents are unhappy with the care provided, they have the option of selecting another provider.

- 3.1.2 In addition to offering certificates, does the Lead Agency also have grants or contracts for child care slots?

- ☐ Yes, and the following describes the types of child care services, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts: (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b))

☒ No

3.1.3 The Lead Agency must allow for in-home care but may limit its use. Does the Lead Agency limit the use of in-home care in any way?

☐ Yes, and the limits and the reasons for those limits are: (§§98.16(g)(2), 98.30(e)(1)(iv))

☒ No

3.1.4 Are all of the child care services described in 3.1.1 above (including certificates) offered throughout the State? (658E(a), §98.16(g)(3))

☒ Yes

☐ No, and the following are the localities (political subdivisions) and the services that are not offered:

3.2 Payment Rates for the Provision of Child Care

The statute at 658E(c)(4) and the regulations at §98.43(b)(1) require the Lead Agency to establish payment rates for child care services that ensure eligible children equal access to comparable care.

These rates are provided as Attachment B.

The attached payment rates were or will be effective as of April 2005.

The following is a summary of the facts relied on by the State to determine that the attached rates are sufficient to ensure equal access to comparable child care services provided to children whose parents are not eligible to receive child care assistance under the CCDF and other governmental programs. Include, at a minimum:

- The month and year when the local market rate survey(s) was completed: September 2004. (§98.43(b)(2))
- A copy of the Market Rate Survey instrument and a summary of the results of the survey are provided as Attachment C.
- How the payment rates are adequate to ensure equal access based on the results of the above noted local market rate survey (i.e., the relationship between the attached payment rates and the market rates observed in the survey): (§98.43(b))

Surveys are completed every two years. The lead agency works closely with the resource and referral network to monitor the availability and accessibility of affordable child care throughout the state.

A monthly ceiling rate for each provider type of licensure and age of child category is established by local market rate survey. An hourly “participation rate” is determined based on the number of hours a parent is participating in agreed upon activities. This is converted into a monthly participation cost. The monthly participation cost, monthly ceiling rate, and actual monthly provider charge are compared. A payment is generated based on the least of the three amounts. Parents participating over 40 hours per week may qualify for an additional payment.

- Additional facts that the Lead Agency relies on to determine that its payment rates ensure equal access include: (§98.43(d))

Historically, Utah has established its payment rate at the 75th percentile. This was true in 2000 and 2002 when the Market Rate surveys showed no increase in child care provider rates. This was not the case in 2004. The 2004 Market Rate revealed an increase in child care provider rates and an internal analysis showed that our established rate was between the 63rd and 65th percentile. This information was included in the Department of Workforce Services legislative report and budget request. Utah’s legislature meets for 17 weeks at the beginning of the calendar year. The 2005 Utah Legislature appropriated 1.3 million dollars of general fund for child care. However, these funds were earmarked to reduce our dependence on TANF funding and are not available to increase our child care subsidy rates. We continue to discuss the child care budget with state legislators.

- If the payment rates do not reflect individual rates for the full range of providers - center-based, group home, family and in-home care -- explain how the choice of the full range of providers is made available to parents.

N/A

- At what percentile of the current Market Rate Survey is the State rate ceiling set? If it varies across categories of care, please describe.

The State rate ceiling is set at the 75 percentile.

- Does the State have a tiered reimbursement system (higher rates for child care centers and family child care homes that achieve one or more levels of quality beyond basic licensing requirements)?



Yes. If yes, describe:

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Licensed centers who achieve an accreditation are paid at a higher rate.

☐ No

3.3 Eligibility Criteria for Child Care

- 3.3.1 Complete column (a) and (b) in the matrix below. Complete Column (c) ONLY IF the Lead Agency is using income eligibility limits lower than 85% of the SMI).

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month) [Multiply (a) by 0.85]	IF APPLICABLE	
			(c) Income Level, lower than 85% SMI, if used to limit eligibility	
			(d) \$/month	(e) % of SMI [Divide (d) by (a), multiply by 100]
1				
2	\$3515	\$2988	\$1968	56%
3	\$4342	\$3691	\$2432	56%
4	\$5169	\$4394	\$2895	56%
5	\$5996	\$5097	\$3358	56%

If the Lead Agency does not use the SMI from the most current year, indicate the year used: 2006

If applicable, the date on which the eligibility limits detailed in column (b) became or will become effective: October 2005.

- 3.3.2 How does the Lead Agency define “income” for the purposes of eligibility? Is any income deducted or excluded from total family income, for instance, work or medical expenses; child support paid to, or received from, other households; Supplemental Security Income (SSI) payments? Is the income of all family members included, or is the income of certain family members living in the household excluded? Please describe and/or include information as *Attachment D and D.1*____. (§§98.16(g)(5), 98.20(b))

The Lead Agency defines income as cash or in-kind benefits received by household members. It includes earned income and unearned income.

Eligibility for Employment Support Child Care is determined using the following eligibility criteria:

1. Gross family income is counted. A medical deduction of \$100 for each household and \$100 work allowance deduction for each working parent is allowed. Court ordered child support paid, and the first \$50 of child support received are also allowable deductions.

2. Earned income exclusions include earned income of a minor child who is not the parent, earned income of an SSI recipient, and Earned Income Tax Credit.

3. Unearned income exclusions include SSI payments, loans, government/rental subsidies, value of food program assistance, and Tribal benefits received by designated tribes.

4. Net income is compared to the figures on the eligibility scale. Families with income in excess of the eligibility scale are not eligible for subsidies.

- 3.3.3 Has the Lead Agency established additional eligibility conditions or priority rules, for example, income limits that vary in different parts of the State, special eligibility for families receiving TANF, or eligibility that differs for families that include a child with special needs? (658E(c)(3)(B), §98.16(g)(5), §98.20(b))

☒ Yes, and the additional eligibility criteria are: (Terms must be defined in Appendix 2)

☐ No

There are two main categories of child care eligibility, the Family Employment Program (for TANF recipients), and Employment Supported Child Care (for other parents who need child care to support employment and employment and training activities).

Child care eligibility for Family Employment Program parents is determined by participation in an approved employment plan.

Income limits are raised to 85% State Median Income for families with children who have disabilities and have special child care needs. All other employment support criteria are the same.

- 3.3.4 Has the Lead Agency elected to waive, on a case-by-case basis, the fee and income eligibility requirements for cases in which children receive, or need to receive, protective services, as defined in Appendix 2? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

☐ Yes, and the additional eligibility criteria are: (Terms must be defined in Appendix 2)

☐ No

☒ Not applicable. CCDF-funded child care is not provided in cases in which children receive, or need to receive, protective services.

- 3.3.5 Does the Lead Agency allow CCDF-funded child care for children above age 13 but below age 19 who are physically and/or mentally incapable of self-care?

(Physical and mental incapacity must then be defined in Appendix 2.)
(658E(c)(3)(B), 658P(3), §98.20(a)(1)(ii))

- ☒ Yes, and the upper age is 18.
☐ No

3.3.6 Does the Lead Agency allow CCDF-funded child care for children above age 13 but below age 19 who are under court supervision? (658P(3), 658E(c)(3)(B), §98.20(a)(1)(ii))

- ☒ Yes, and the upper age is 18.
☐ No

3.3.7 Does the State choose to provide CCDF-funded child care to children in foster care whose foster care parents are not working, or who are not in education/training activities? (§§98.20(a)(3)(ii), 98.16(f)(7))

- ☐ Yes. (**NOTE:** This means that for CCDF purposes the State considers these children to be in protective services.)
☒ No

3.3.8 Does the State choose to provide child care to children in protective services? (§§98.16(f)(7), 98.20(a)(3)(ii)(A) & (B))

- ☐ Yes
☒ No

3.4 Priorities for Serving Children and Families

3.4.1 Describe how the State prioritizes service for the following CCDF-eligible children: (a) children with special needs, (b) children in families with very low incomes, and (c) other. Terms must be defined in Appendix 2. (658E(c)(3)(B))

During high demand for child care services, a waiting list process is implemented. Special needs children, homeless, and those families receiving TANF, are placed at the top of the list and are served first.

3.4.2 Describe how CCDF funds will be used to meet the needs of: (a) families receiving Temporary Assistance for Needy Families (TANF), (b) those attempting to transition off TANF through work activities, and (c) those at risk of becoming dependent on TANF. (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

In Utah, Temporary Assistance for Needy Families (TANF) is known by and administered under the Family Employment Program (FEP). Utah's child care services will support these families when they are employed or are participating in activities that lead to employment as negotiated in their approved employment plan.

Utah will continue to serve all working families transitioning off of the Family Employment Program and all other families at risk of becoming dependent on such assistance whose incomes are at or below 56% State Median Income. Child care continues for as long as the families meet the eligibility criteria established.

3.4.3 Does the Lead Agency maintain a waiting list?

- ☐ Yes. If yes, for what populations? Is the waiting list maintained at the State level? Are certain populations given priority for services, and if so, which populations? What methods are employed to keep the list current?
- ☒ No. If no, does the Lead Agency serve all eligible families that apply?
- ☒ Yes
- ☐ No

Are there other ways that the Lead Agency addresses situations in which funding is not sufficient to serve all families that are technically eligible under State policies? If so, describe.

During high demand for child care services, a waiting list process is implemented. Special needs children and very low income families are placed at the top of the list and are served first.

3.5 Sliding Fee Scale for Child Care Services

3.5.1 A sliding fee scale, which is used to determine each family's contribution to the cost of child care, must vary based on income and the size of the family. A copy of this sliding fee scale for child care services and an explanation of how it works is provided as Attachment D and D.1.

The attached fee scale was or will be effective as of October 2005.

Will the Lead Agency use additional factors to determine each family's contribution to the cost of child care? (658E(c)(3)(B), §98.42(b))

- ☒ Yes, and the following describes any additional factors that will be used:
- ☐ No

The income adjustment or sliding fee scale varies based on income and the size of the family. There are other factors involved in the process of determining a child care payment. A participation cost is calculated based on parent participation in approved activities. A maximum monthly cap per child per month is established

by the local market rate survey. The parent is responsible for paying the total cost for services to the designated provider. Payment is generated based on the lesser of the monthly maximum rate, participation cost, and provider charge.

3.5.2 Is the sliding fee scale provided in the attachment in response to question 3.5.1 used in all parts of the State? (658E(c)(3)(B))

☒

Yes

☐

No, and other scale(s) and their effective date(s) are provided as Attachment ____.

- 3.5.3 The Lead Agency may waive contributions from families whose incomes are at or below the poverty level for a family of the same size, (§98.42(c)), and the poverty level used by the Lead Agency for a family of 3 is:
\$ 1341.

The Lead Agency must elect ONE of these options:

- ☐ ALL families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee.
- ☐ ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.
- ☒ SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. The following describes these families:

Some families who are at or below 100% of poverty are not subject to the income adjustment scale. These families participate in the Family Employment Program (FEP). Families who transition off of FEP may receive up to three consecutive months of child care without being required to pay a fee. They must meet all other employment support eligibility factors.

- 3.5.4 Does the Lead Agency have a policy that prohibits a child care provider from charging families any unsubsidized portion of the provider's normal fees (in addition to the contributions discussed in 3.5.1)? (§98.43(b)(3))
- ☐ Yes. Please describe:
- ☒ No.

- 3.5.5 The following is an explanation of how the copayments required by the Lead Agency's sliding fee scale(s) are affordable: (§98.43(b)(3))

Families with income at or below the federal poverty level are required to pay a low minimum co-payment that does not exceed 10% of their gross income. The highest fee a family is required to pay does not exceed 14% of family income. Income groups are defined on Attachments D and D.1 Eligibility Tables. Income groups are based on the number of people in the household.

PART 4 PROCESSES WITH PARENTS

4.1 Application Process / Parental Choice

4.1.1 The following describes the process for a family to apply for and receive child care services (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §§98.16(k), 98.30(a) through (e)). If the process varies for families based on eligibility category, for instance, TANF versus non-TANF, please describe. The description should include:

- How parents are informed of the availability of child care services and about child care options
- Where/how applications are made
- Who makes the eligibility determination
- How parents who receive TANF benefits are informed about the exception to individual penalties as described in 4.4
- Length of eligibility period including variations that relate to the services provided, e.g., through collaborations with Head Start or pre-kindergarten programs
- Any steps the State has taken to reduce barriers to initial and continuing eligibility for child care subsidies

Information on the availability of child care subsidies is available to the public through a variety of sources. Parents may learn of the program through the resource and referral agency network, which collects and updates detailed information on available child care resources, child care providers, or from any number of child care advocacy groups (listed below).

- *Utah Children*
- *State CAP agencies*
- *Child Care Resource and Referral*
- *Child Care Provider Associations*
- *Head Start grantees*

Individuals receiving TANF are told that child care subsidies are available as part of the eligibility interview. Brochures outlining DWS supportive services, including child care assistance, are displayed in local employment centers. Information about child care services and resources is also accessible through the DWS website.

Families may receive child care subsidies by making an application in the local Employment Center of the Department of Workforce Services. Initial eligibility determination is made by the Employment Center, Department of Workforce Services staff. Ongoing eligibility may be managed at the Employment Center or

by the Regional Eligibility Service Center, Department of Workforce Services depending on the area.

Parents are advised during the eligibility interview that they may choose their own child care provider. Eligible families may choose child care services from providers who are licensed or providers who meet minimum health and safety standards as described in 3.1.1. Parents are encouraged to choose child care arrangements that best meet the family needs. Parents are referred to the local CCR&R when assistance is needed in locating child care.

Parents receive the Form 980, Child Care Subsidy Worksheet that they present to the child care provider of their choice. The provider declares the monthly rate charged for their child care services, monthly hours each child is in care, and signs the Form 980.

The parent's weekly hours of participation in approved activities and monthly provider charge are entered into the eligibility case management system. The system calculates a participation cost and determines the amount of the payment based on the lesser of the participation cost, provider charge, and monthly local market rate. The payment is issued via the Utah Horizon Card or a two-party check and mailed to the parent.

If at any time a TANF recipient is unable to locate appropriate child care, the DWS Service Provider will assist and discuss alternatives with the parent. When it is clear that there is an inability to obtain needed child care, the DWS Service Provider will discuss the exception to individual penalties as described in 4.4 in terms of employment plan activities. This process is handled in person with the TANF recipient and on a case-by-case basis.

Need for child care is re-established at reviews or sooner as determined by the DWS Service Provider. Payments are authorized prospectively based on a best estimate of need for child care. During the re-establishment process, past child care is reviewed to ensure that minimum eligibility requirements were met. Review periods may be approved for up to 6 months. Monthly eligibility continues until such time as the parent is no longer eligible.

Steps the State has taken to reduce barriers to initial and continuing eligibility for child care subsidies.

The Office of Child Care has implemented significant policy changes as of April 1, 2005 to simplify policy and reduce the amount of verification that is required by parents in order to qualify for and to maintain child care assistance.

In 2006, we will be conducting a study of family, friend, and neighbor care. This study will allow us to improve our service to customers using license exempt providers.

The development and implementation of an inter-agency case management computer system is still being constructed to allow easier and more accurate child care assistance.

- 4.1.2 The following is a detailed description of how the State ensures that parents are informed about their ability to choose from among family and group home care, center-based care and in-home care including faith-based providers in each of these categories.

Parents are referred to their local child care resource and referral agency for assistance in selecting appropriate care.

4.2 Records of Parental Complaints

The following is a detailed description of how the State maintains a record of substantiated parental complaints and how it makes the information regarding such parental complaints available to the public on request. (658E(c)(2)(C), §98.32))

The Department of Health, Bureau of Licensing investigates all complaints and maintains records of substantiated parental complaints for all Licensed and Residentially Certified providers. Anyone can file a complaint in person, by phone, or in writing. Parents may receive information on substantiated complaints at any time upon request.

A file of substantiated parental complaints about license exempt providers is maintained by the Department of Workforce Services. The parent can make a complaint in person, by phone, or in writing. Abuse and neglect complaints are referred to Department of Human Services, Child Protective Services or the local law enforcement agency for investigation. A record is established on all substantiated complaints and is available at any time upon request. Parents who make complaints against exempt providers for child abuse or lack of health and safety are encouraged to contact local authorities and have the option to select another provider and may be referred to the local Child Care Resource and Referral agency for assistance in finding another setting. The Department of Workforce Services may help the parent file a child protective service complaint with the police or Division of Child and Family Services.

4.3 Unlimited Access to Children in Child Care Settings

The following is a detailed description of the procedures in effect in the State for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds. (658E(c)(2)(B), §98.31))

The Department of Health, Bureau of Licensing, monitors licensed and residentially certified providers. Providers are required to certify that parents are allowed access to

their children at all times. Parents are afforded unlimited access to their children in care. Licensed exempt providers must sign an agreement that outlines health and safety criteria and accessibility to children by parents. Parents monitor license exempt providers.

4.4 **Criteria or Definitions Applied by TANF Agency to Determine Inability to Obtain Child Care**

The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care:

NOTE: The TANF agency, not the Child Care Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record. The TANF agency that established these criteria or definitions is: The Department of Workforce Services – Operations Support Division (OSD)

- "appropriate child care":

Appropriate child care is determined by the parent. The parent chooses the care setting that best meets the child's developmental needs. "Finding" appropriate child care will be counted as parent participation in the State's TANF program. To find appropriate child care, parents are referred to their local child care resource and referral agency.

- "reasonable distance":

Travel that requires a two hour round trip unless the commute time for the community is generally longer.

- "unsuitability of informal child care":

A care setting chosen by the parent that is operating illegally as defined by Utah law or setting where substantiated evidence of child abuse exists.

- "affordable child care arrangements":

An available provider in the community whose charge for services does not exceed the monthly local market rate established at the 75th percentile.

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PART 5 ACTIVITIES & SERVICES TO IMPROVE THE QUALITY AND AVAILABILITY OF CHILD CARE

5.1 Quality Earmarks and Set-Asides

- 5.1.1 The Child Care and Development Fund provides earmarks for infant and toddler care and school-age care and resource and referral services as well as the special earmark for quality activities. The following describes the activities; identifies the entities providing the activities; and describes the expected results of the activities. For the infant and toddler earmark, the State must note in its description of the activities what is the maximum age of a child who may be served with such earmarked funds.

***Infants and toddlers*:** The three overarching outcome goals for the Office of Child Care Infant/Toddler activities are to:*

- 1. To increase the availability of infant/toddler care in Utah.*
- 2. To increase the affordability of infant/toddler care in Utah.*
- 3. To increase the quality of infant/toddler care in Utah.*

**Infant/toddlers are defined as age 6 weeks to 24 months.*

These goals will be achieved through the following activities.

Specialty Grants: Outdoor play area and/or plumbing grants will be offered to improve the physical environment of infant/toddler rooms. The goal is to provide safe and stimulating outdoor environments and provide the hand washing sinks required by state licensing rules in infant/toddler classrooms.

Baby Steps Quality Improvement Project: Beginning in July 2003 all centers who provide infant and/or toddler have been eligible for annual grants to increase the quality of care and to help offset the cost of providing infant care. Directors and caregivers attend 40 hours of training and obtain the Infant/Toddler Endorsement in their first year of participation. Directors complete a self-assessment using the Infant/Toddler Environment Rating Scale – Revised (ITERS-R) and set quality improvement goals. Centers need to meet their goals, pay for staff training and expend twenty percent of the grant on equipment and materials to remain eligible.

Quality Improvement Grant: Quality improvement grants are available to both licensed center and family care providers. Grants opportunities occur three times per year. Grants are awarded using the Environment Rating Scales (ERS) as a baseline quality measurement.

Career Ladder Training: *The Early Childhood Career Ladder includes an Infant/Toddler Endorsement, which consists of 40 hours of specialized training in working with infants and toddlers. This training is taught statewide through the Child Care Resource & Referral system.*

Family Child Care Start-Up Grants: *Child Care Resource and Referral will encourage recruitment of infant and toddler care providers by offering on-going start-up grants for family child care providers.*

Child Care Resource and Referral: *The two overarching outcome goals for the Office of Child Care Child Care Resource and Referral activities are to:*

- 1. To support families by increasing their access to child care and parenting resources.*
- 2. To support child care providers to expand the supply and enhance the quality of care.*

These goals will be achieved through the following activities:

-The Office of Child Care will continue to provide child care resource and referral (CCR&R) support.

-The Office of Child Care will continue to support the following CCR&R Core Services:

*Maintain a comprehensive database of providers
Furnish individualized consumer education and referrals
Initiate or maintain community collaboration and outreach
Recruit new child care resources
Retain existing child care resources
Deliver training and technical assistance to child care providers*

The Department of Workforce Services contracts with the following entities for the delivery of Resource and Referral services:

*Utah State University
Weber State University
Children's Service Society of Utah
Utah Valley State College
College of Eastern Utah
Five County Association of Governments*

In FY06 Utah will transition from using the NACRRAware referral database to our own Utah Referral Database developed by the same software programmer who created the Statewide Training Registry referenced in section 5.1.4 below. This database will give Utah more flexibility in collecting and pulling data on

child care need and demand, and will interface with the Statewide Training Registry.

***School-age child care:** The Three overarching outcome goals for the Office of Child Care School-Age activities are to:*

- 1. Increase the availability and quality of school-age care in Utah.*
- 2. Develop an increased number of public/private partnerships designed to enhance programs for school-age children.*
- 3. Develop an appropriate funding strategy for school-age care in Utah.*

These goals will be achieved through the following activities:

New Initiative: Support the creation of a Utah After School Network to support the development of statewide policies that will secure resources needed to sustain new and existing after school programs, and support statewide systems to ensure after school programs are of high quality.

Ongoing Initiatives: The Youth Connections Grant, a program designed specifically for elementary school youth, will continue to serve low-income at risk youth, for a maximum of six years per qualifying program. The purpose of the funding is to expand the capacity of an existing program to serve more youth and/or to expand the capacity of an existing program to increase service hours, or begin operation of a new program.

Utah will continue a School Age Career Ladder program. This program will mirror the Early Childhood Career Ladder, but with training focused on working with school-age children in out-of-school time programs. The goal of this program is to improve the quality of care children receive by increasing the training and education levels of school-age child care providers.

Licensed child care providers or legally license exempt programs have an opportunity to receive a Quality Improvement (QI) Grant every other year, based on an Environment Rating Scale (ERS) review completed by a QI Consultant.

5.1.2 The law requires that not less than 4% of the CCDF be set aside for quality activities. (658E(c)(3)(B), 658G, §§98.13(a), 98.16(h), 98.51) The Lead Agency estimates that the following amount and percentage will be used for the quality activities (not including earmarked funds): \$ 4,476,826 (12%)

5.1.3 Check either "Yes" or "No" for each activity listed to indicate the activities the Lead Agency will undertake to improve the availability and quality of child care (include activities funded through the 4% quality set-aside as well as the special earmark for quality activities). (658D(b)(1)(D), 658E(c)(3)(B), §§98.13(a), 98.16(h))

	Yes	No
• Comprehensive consumer education	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Grants or loans to providers to assist in meeting State and local standards	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Monitoring compliance with licensing and regulatory requirements	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Professional development, including training, education, and technical assistance	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Improving salaries and other compensation for child care providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Activities in support of early language, literacy, pre-reading, and early math concepts development	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Activities to promote inclusive child care	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Healthy Child Care America and other health activities including those designed to promote the social and emotional development of children	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Other quality activities that increase parental choice, and improve the quality and availability of child care. (§98.51(a)(1) and (2))	<input checked="" type="checkbox"/>	<input type="checkbox"/>

5.1.4 Describe each activity that is checked "Yes" above, identify the entity(ies) providing the activity, and describe the expected results of the activity.

Comprehensive consumer education

CCR&R phone counselors offer consumer education to each parent who contacts CCR&R for a child care referral. Follow-up consumer education materials are also mailed to parents receiving referrals.

In FY04 and FY05, the Utah Office of Child Care partnered with the Utah State Office of Education, and other interested stakeholders in the creation of Utah's Early Learning Guidelines. Forty hours of training based on these guidelines is being developed for implementation throughout the state as a School Readiness Endorsement to the Career Ladder Program. In FY06 Utah will launch a major public awareness initiative focused on getting the guidelines out to parents, providers, and the general public.

The Office of Child Care has created a comprehensive web-based child care subsidy presentation for parents who are applying for child care subsidy. The presentation provides information about child care subsidy, selecting child care, what to look for in a child care quality setting. This can be viewed from our website:

http://jobs.utah.gov/occ/flashSlide/splash_page.swf

“Care About Child Care” Campaign. In May 2003, Utah began a statewide public awareness campaign to increase awareness of the importance of quality child care. The campaign includes television and radio spots, newspaper articles, and informational materials about child care and operates a website: www.careaboutchildcare.org. Care About Child Care, Inc. received its non-profit status from the IRS and will begin formally organizing in the 2005/06.

Grants or loans to providers to assist in meeting State and local standards

Quality Improvement (QI) Grants. Licensed child care providers have an opportunity to apply three times each year and an opportunity to receive a QI grant annually, based on Environment Rating Scale (ERS) reviews completed by consultants.

Accreditation Support Projects. Utah supports national accreditation for both family and center child care programs through grants to statewide provider associations. Accreditation grant monies can be used to purchase accreditation materials for interested programs, to provide mentoring to programs in the accreditation process, and to pay for accreditation validation visits.

Provider Association Grants. Provide financial support to legally recognized child care provider associations in Utah for the purpose of supporting training, newsletters, and special projects.

Youth Connections, a grant program designed specifically for elementary school youth, serves low-income at-risk youth, for a maximum of six years per site. The purpose of the funding is to expand the capacity of an existing program to serve more youth and/or to expand the capacity of an existing program to increase service hours, or begin operation of a new program.

Baby Steps Quality Improvement Project. All centers who provide infant and/or toddler care are eligible for annual grants to increase the quality of care and help offset the cost of providing infant care. The grant requires that the director and caregivers attend 40 hours of training and obtain the Infant/Toddler Endorsement, Complete a self-assessment using the ITERS-R and set quality improvement goals. Centers need to meet their goals, pay for staff training and expend twenty percent of the grant on equipment and materials to remain eligible.

Professional development, including training, education, and technical assistance.

The overarching outcome goals for the Office of Child Care Training and Professional Development activities are to improve the quality of child care for all children in Utah by

increasing the levels of education and experience of early childhood/child care workers and reducing caregiver turnover.

These goals will be met by the following activities:

Career Ladder:

Utah will continue the Early Childhood Career Ladder and School Age Career Ladder program. The goal of this program is to improve the quality of care children receive by increasing the training and education levels of child care providers. The program offers community-based training for child care providers throughout Utah through Utah's CCR&R network. It also acknowledges and rewards providers for the completion of both community-based and college credit early childhood and elementary education training. In addition to the 10 possible levels of Career Ladder certification, providers may also receive Career Ladder Endorsements for the completion of 40 hours of specialized training in the following areas: Infant & Toddler Care, Caring for Children with Special Needs, Center Administration, Family Child Care, School Readiness, and Guidance & Emotional Wellness.

Training & Longevity Supplement:

Utah has a Training & Longevity Supplement Program for child care providers.

This program has two goals:

- To improve the quality of care children receive by reducing turnover among caregivers, thereby allowing children to develop stable, consistent relationships with a limited number of caregivers.*
- To improve the quality of care children receive by encouraging providers to participate in ongoing training.*

The program offers individual caregivers working in licensed child care programs a yearly wage supplement of between \$100 and \$900. The amount of the supplement is dependent upon a combination of the provider's level of Career Ladder certification and his or her years of continuous employment in the same child care program.

Professional Development Institute:

In 2003 Utah began a collaborative partnership with Salt Lake Community College in the creation of a Child Care Professional Development Institute (CCPDI). In FY06 the functions of CCPDI will be significantly expanded, and a full-time executive director will be hired. CCPDI FY06 tasks include the following:

- 1. Process approximately 2500 – 3000 statewide provider professional development applications annually, and issue bonus checks and awards to child care providers.*
- 2. Facilitate and host an annual statewide professional development conference for child care providers, to be planned in collaboration with the Office of Child Care and Utah's statewide child care provider associations.*
- 3. Develop a Career Ladder Trainer certification process for non-CCR&R Career Ladder trainers.*
- 4. Develop and implement a plan for approving non-CEU, non-CCR&R community-based training for use on the Career Ladder.*

5. *Conduct periodic statewide surveys of child care providers to assess the effectiveness of existing professional development programs, and to make recommendations for program improvements.*
6. *Conduct periodic reviews of existing community-based Career Ladder training curricula to insure that information contained therein is based on current best practices in the field.*
7. *Offer support to Utah's statewide provider professional associations to assist them in the development of leadership and organizational skills.*
8. *Establish and conduct periodic meetings of a CCPDI advisory committee, and utilize input from the committee as deemed appropriate to make recommendations for program improvements.*
9. *Collaborate with Utah's other colleges and universities to facilitate inter-institutional collaboration and articulation in early childhood programs.*
10. *Seek out sources of additional funding for new and existing child care provider professional development activities.*

Statewide Training Registry:

The Office of Child Care operates a Statewide Training Registry available online to child care providers. The Registry tracks providers' Career Ladder training and awards issued. Through the Registry, providers can register for CCR&R training courses, view their Career Ladder and Training & Longevity Supplement records, and print out a transcript of their training.

See Attachment ____ for a detailed description of Utah's Professional Development plan.

Annual Professional Development Conference:

In collaboration with Utah's six statewide provider associations, Utah hosts an annual Professional Development Conference.

- *The goals of the conference are:*
 - To acknowledge providers for their professional development and service accomplishments.*
 - To share information about child care programs and services.*
 - To offer fun and useful training on a variety of topics relevant to child care providers.*
 - To offer Utah's provider associations an opportunity to work together on a collaborative project.*

CDA Scholarships. OCC provides scholarships to eligible providers to obtain their CDA. They are required to be working in a licensed child care program (Family or center setting) and meet income level requirements.

Improving salaries and other compensation for child care providers.

Training & Longevity Supplement (TL\$):

Utah operates a statewide Training & Longevity Wage Supplement Program.

This program has two goals:

-To improve the quality of care children receive by reducing turnover among caregivers, thereby allowing children to develop stable, consistent relationships with a limited number of caregivers.

-To improve the quality of care children receive by encouraging providers to participate in ongoing training. The program offers individual caregivers working in licensed child care programs a yearly wage supplement of between \$100 and \$900. The amount of the supplement is dependent upon a combination of the provider's level of Career Ladder certification and his or her years of continuous employment in the same child care program.

Baby Steps Quality Improvement Project. All centers who provide infant and/or toddler care are eligible for annual grants to increase the quality of care and help offset the cost of providing infant care. Part of the grant may be used to pay and/or increase infant/toddler caregiver wages.

Activities in support of early language, literacy, pre-reading, and early math concepts development

In FY04 and FY05, the Utah Office of Child Care partnered with the Utah State Office of Education, and other interested stakeholders in the creation of Utah's Early Learning Guidelines. Forty hours of training based on these guidelines is being developed to be implemented throughout the state as a School Readiness Endorsement to the Career Ladder Program. In FY06 Utah will launch a major public awareness initiative focused on getting the guidelines out to parents, providers, and the general public. In addition Career Ladder CDA courses also address these topics.

Activities to promote inclusive child care

Career Ladder training available throughout the state includes 40 hours of provider training specific to including children with disabilities in child care programs. This training constitutes the Special Needs Endorsement for the Career Ladder Program.

Other quality activities that increase parental choice, and improve the quality and availability of child care.

Best Companies to Work For Awards. The Utah Work/Life Award was created in 1998. The award recognizes Utah businesses that excel in creating and offering work/life programs to their employees. The award has evolved over the six years since its inception. The vision of the award is two-fold. First, the Award is designed to publicly honor those companies that go above and beyond to create sustainable workplace cultures that provide meaningful support to employees, their families and their communities. Second, the Award serves to create an educational community of practice, which allows companies to learn from the award process itself and to share best practices with each other.

5.1.5 Is any entity identified in sections 5.1.1 or 5.1.4 a non-governmental entity?



Yes, the following entities named in this part are non-governmental:

Name: *Child Care Resource and Referral-Metro*

Child care providers – for profit

Child care providers – non-profit

Utah School districts

Child care provider professional associations

Private employers



No.

5.2 Good Start, Grow Smart Planning and Development

This section of the Plan relates to the President's *Good Start, Grow Smart* initiative which is envisioned as a Federal-State partnership that creates linkages between CCDF, including funds set-aside for quality, and State public and private efforts to promote early learning. In this section, each Lead Agency is asked to assess its State's progress toward developing voluntary guidelines on language, literacy, pre-reading, and early math concepts and a plan for the education and training of child care providers. The third component of the President's *Good Start, Grow Smart* initiative, planning for coordination across at least four early childhood programs and funding streams, was addressed in Section 2.1.2.

5.2.1 Status of Voluntary Guidelines for Early Learning. Indicate which of the following best describes the current status of the State's efforts to develop research-based early learning guidelines (content standards) regarding language, literacy, pre-reading, and early math concepts for three to five year-olds.

- ☐ **Planning.** The State is planning for the development of early learning guidelines. Expected date of plan completion: _____
- ☐ **Developing.** The State is in the process of developing early learning guidelines. Expected date of completion: _____
- ☐ **Developed.** The State has approved the early learning guidelines, but has not yet developed or initiated an implementation plan. The early learning guidelines are included as Attachment _____
- ☒ **Implementing.** In addition to having developed early learning guidelines, the State has embarked on implementation efforts which may include dissemination, training or embedding guidelines in the professional development system.
- ☐ **Revising.** A State has previously developed early learning guidelines and is now revising those guidelines. The guidelines are included as Attachment _____
- ☐ **Other (describe):**

Describe the progress made by the State in developing voluntary guidelines for early learning since the date of submission of the 2004-2005 State Plan.

In FY04 and FY05, the Utah Office of Child Care partnered with the Utah State Office of Education, and other interested stakeholders in the creation of Utah's Early Learning Guidelines. Forty hours of training based on these guidelines is being developed for implementation throughout the state as a School Readiness Endorsement to the Career Ladder Program. In FY06 Utah will launch a major public awareness initiative focused on getting the guidelines out to parents, providers, and the general public.

If developed, are the guidelines aligned with K-12 content standards?

☒ Yes. If yes, describe. *The guidelines were developed in collaboration with curriculum specialists in the State Office of Education and made to specifically align with Utah's K-2 core curriculum.*

☐ No.

Please attach a copy of the guidelines. If the guidelines are available on the web, provide the appropriate Web site address:

5.2.2 Domains of Voluntary Guidelines for Early Learning. Do the guidelines address language, literacy, pre-reading, and early math concepts?

☒ Yes
☐ No

Do the guidelines address domains not specifically included in *Good Start, Grow Smart*, such as social/emotional, cognitive, physical, health, creative arts, or other domains?

☒ Yes. If yes, describe. *The guidelines include the social/emotional domain, and the physical domain.*

☐ No

Have guidelines been developed for children in age groups not specifically included in *Good Start, Grow Smart* (children other than those aged three to five)?

☐ Yes. If yes, describe.
☒ No

5.2.3 Implementation of Voluntary Guidelines for Early Learning. Describe the process the State used or expects to use in **implementing** its early learning guidelines. How are (or will) community, cultural, linguistic and individual variations, as well as the diversity of child care settings (be) acknowledged in implementation?

Forty hours of training based on these guidelines is being developed to be implemented throughout the state as a School Readiness Endorsement to the Career Ladder Program. In FY06 Utah will launch a major public awareness initiative focused on getting the guidelines out to parents, providers, and the general public. The Utah State Office of Education is developing a plan to get the guidelines to Kindergarten teachers. The Utah Family Center is working on a plan to disperse the guidelines to parents, and OCC is creating a plan to give the guidelines to child care providers. The three agencies are working together with one graphic designer so that all the materials will have the same look and feel. There are also plans to have the materials available in Spanish.

5.2.4 Assessment of Voluntary Guidelines for Early Learning. As applicable, describe the State's plan for **assessing** the effectiveness and/or implementation of the guidelines. Written reports of these efforts are included as Attachment ____

Assessment plans are under development.

5.2.5 State Plans for Professional Development. Indicate which of the following best describes the current status of the State's efforts to develop a professional development plan for early childhood providers that includes all the primary sectors: child care, Head Start, and public education.

- ☐ **Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated, and how the plan is expected to support early language, literacy, pre-reading and early math concepts.
- ☐ **Developing.** A plan is being drafted. The draft is included as Attachment ____
- ☐ **Developed.** A plan has been written but has not yet been implemented. The plan is included as Attachment ____
- ☐ **Implementing.** A plan has been written and is now in the process of being implemented. The plan is included as Attachment ____
- ☒ **Other (describe):**
A Professional Development Program was developed and has been implemented in Utah since FY00. There have been ongoing revisions since then and in FY02 the Career Ladder was changed to our current program. The current Training and Longevity program has been running since FY03.

Describe the progress made by the State in a plan for professional development since the date of submission of the 2004-2005 State Plan.

Nothing has changed since the last State Plan.

If your State has developed a plan for professional development, does the plan include:	Yes	No
A link to Early Learning Guidelines	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Continuum of training and education to form a career path	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Articulation from one type of training to the next	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Quality assurance through approval of	<input checked="" type="checkbox"/>	<input type="checkbox"/>

trainers		
Quality assurance through approval of training content	<input checked="" type="checkbox"/>	<input type="checkbox"/>
A system to track practitioners' training	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Assessment or evaluation of training effectiveness	<input checked="" type="checkbox"/>	<input type="checkbox"/>
State Credentials – Please state for which roles (e.g. infant and toddler credential, directors' credential, etc.)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Specialized strategies to reach family, friend and neighbor caregivers	<input type="checkbox"/>	<input checked="" type="checkbox"/>

For each Yes response, reference the page(s) in the plan and briefly describe the Lead Agency's efforts.

A link to Early Learning Guidelines

Forty hours of training based on these guidelines is being developed to be implemented throughout the state as a School Readiness Endorsement to the Career Ladder Program.

Articulation from one type of training to the next

Currently all of Utah's community colleges will award college credits to providers for a current CDA credential.

Quality assurance through approval of trainers

Three types of training may currently be used on the Career Ladder:

- 1. CCR&R Career Ladder courses. CCR&R Career Ladder trainers must meet criteria stipulated in the CCR&R contracts, and are periodically observed and assessed by their CCR&R supervisor. In addition, periodic observations of Career Ladder trainers will be conducted through the Child Care Professional Development Institute in FY06 and FY07, and CCPDI will implement a training program for Career Ladder trainers, based on needs identified in past trainer observations.*
- 2. CEU training. CEU trainer's credentials are reviewed and approved by the agency granting the CEUs. For example, Head Start programs, school districts, etc.*
- 3. College credit training. Credentials for college instructors are approved by the college or university offering the training.*

One of the tasks for the newly funded CCPDI Executive Director in FY06 and FY07 will be to develop and implement a plan for approving non-CCR&R, non-CEU community-based trainers.

Quality assurance through approval of training content

Three types of training may currently be used on the Career Ladder:

- 1. CCR&R Career Ladder courses. These courses have either been developed by the Office of Child Care, or through contracts released by the Office of Child Care. In both cases content is approved by Office of Child Care staff and the CCR&R Directors working collaboratively.*
- 2. CEU training. The content of this training is reviewed and approved by the agency granting the CEUs. For example, Head Start programs, school districts, etc.*
- 3. College credit training. The content of this training is approved by the college or university offering the training.*

One of the tasks for the newly funded CCPDI Executive Director in FY06 and FY07 will be to develop and implement a plan for approving non-CCR&R, non-CEU community-based training for use on the Career Ladder.

A system to track practitioners' training

Statewide Training Registry:

The Office of Child Care operates a Statewide Training Registry available online to child care providers. The Registry tracks providers' Career Ladder training and awards issued. Through the Registry, providers can register for CCR&R training courses, view their Career Ladder and Training & Longevity Supplement records, and print out a transcript of their training.

Assessment or evaluation of training effectiveness

Providers attending training complete a survey after each course to give input of the value of the training in their day-to-day work with children. Input from providers is used to make periodic revisions to training. Trainer supervisors at each CCR&R agency periodically visit Career Ladder classes to evaluate the effectiveness of the trainer. In addition, periodic observations of Career Ladder trainers will be conducted through the Child Care Professional Development Institute in FY06 and FY07, and CCPDI will implement a training program for Career Ladder trainers, based on needs identified in past trainer observations.

For each No response, indicate whether the Lead Agency intends to incorporate these components.

Continuum of training and education to form a career path

This is a challenge in Utah, because state Licensing rules in Utah only require specific credentials for a Center Director. There are no other requirements for

any other child care career positions in Utah, except that providers in licensed facilities must complete 20 hours of community-based training per year, of which only 10 hours need to be face-to-face training. This makes levels of training not specifically tied to jobs in the field, except for Head Start and school district positions.

State Credentials – Please state for which roles (e.g. infant and toddler credential, directors’ credential, etc.)

See response immediately preceeding.

Specialized strategies to reach family, friend and neighbor caregivers

In FY06, the Office of Child Care will conduct a study of Utah’s family, friend and neighbor care system. A through review of relevant literature will be completed. Using this information, the Office of Child Care will develop policies addressing child care subsidy and continuing education for relative care.

Are the opportunities available:	Yes	No
Statewide	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To Center-based Child Care Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To Group Home Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To Family Home Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To In-Home Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other (describe):	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Describe how the plan addresses early language, literacy, pre-reading, and early math concepts development.

Forty hours of training based Utah Early Learning Guidelines is being developed and will be implemented throughout the state as a School Readiness Endorsement to the Career Ladder Program. This training includes courses on early language, literacy and pre-reading, and early math. Regular Career Ladder CDA courses also address these topics.

Are program or provider-level incentives offered to encourage provider training and education?

- ☒ Yes. Describe, including any connections between the incentives and training relating to early language, literacy, pre-reading and early math concepts. *Please see description of the Career Ladder Program in item 5.1.4 above.*

- ☐ No. If no, is there any plan to offer incentives to encourage provider training and education?

What are the expected **outcomes** of the State's professional development plan and efforts to improve the skills of child care providers? As applicable, how does (or will) the State assess the effectiveness of its plan and efforts? If so, how does (or will) the State use assessment to help shape its professional development plan and training/education for child care providers?

Expected outcomes include improved quality of care for children, increased provider retention, and decreased provider turnover. These objectives will be partially tracked through provider information in the Statewide Training Registry, as well as through statewide provider surveys conducted by the Child Care Professional Development Institute. CCPDI will use input from providers surveys and input from CCR&R agencies to make recommendations for professional development program improvements.

PART 6 **HEALTH AND SAFETY REQUIREMENTS FOR PROVIDERS**

(Only the 50 States and the District of Columbia complete Part 6.)

The National Resource Center for Health and Safety in Child Care (NRCHSCC) of DHHS's Maternal and Child Health Bureau supports a comprehensive, current, on-line listing of the licensing and regulatory requirements for child care in the 50 States and the District of Columbia. In lieu of requiring a State Lead Agency to provide information that is already publicly available, ACF accepts this compilation as accurately reflecting the States' licensing requirements. The listing, which is maintained by the University of Colorado Health Sciences Center School of Nursing, is available on the World Wide Web at: <http://nrc.uchsc.edu/>.

6.1 Health and Safety Requirements for Center-Based Providers (658E(c)(2)(F), §§98.41, §98.16(j))

6.1.1 Are all center-based providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation?

☐

Yes. Answer 6.1.2, skip 6.1.3, **and go to 6.2.**

☒

No. Describe which center-based providers are exempt from licensing under State law and answer 6.1.2 and 6.1.3.

6.1.2 Have center licensing requirements as relates to staff-child ratios, group size, or staff training been modified since approval of the last State Plan?
(§98.41(a)(2)&(3))

☐

Yes, and the changes are as follows:

☒

No

6.1.3 For center-based care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)

All licensed child care centers in Utah are subject to licensing and regulatory requirements available through NRCHSCC as outlined above. Utah maintains a database of providers who are NOT licensed (exempt by Utah law). These providers self-certify that they meet minimum health and safety standards, which include prevention and control of infectious disease. Records of age-appropriate child immunizations must be kept on file with the caregiver.

Utah defines licensed exempt providers who are registered on the licensed exempt database as: “non-relative private home providers caring for four or fewer children; relatives; and care provided as part of an education institution regulated by the boards of education of Utah; parochial schools or a parochial child care institution where an education curriculum is offered”.

- Building and physical premises safety

License exempt providers must maintain a working telephone with emergency numbers posted near the telephone. Hazardous material must be stored in an area inaccessible to children. Providers must meet all the local and state fire and safety requirements as defined by law. An approved fire extinguisher and smoke detectors on each floor occupied by children are required.

License exempt center facilities are required to be inspected by a Fire Marshall and local health sanitation inspectors.

- Health and safety training

Licensed exempt providers may receive notification of training opportunities via their local child care resource and referral agency upon request. Available training includes CPR, First Aid, basic nutrition, and cleanliness.

6.2 Health and Safety Requirements for Group Home Providers (658E(c)(2)(F), §§98.41, 98.16(j))

6.2.1 Are all group home providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation? If:

- ☒ Yes. Answer 6.2.2, skip 6.2.3, and go to 6.3.
☐ No. Describe which group home providers are exempt from licensing under State law and answer 6.2.2 and 6.2.3.

6.2.2 Have group home licensing requirements that relate to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

- ☐ Yes, and the changes are as follows:
☒ No

6.2.3 For group home care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

6.3 Health and Safety Requirements for Family Providers (658E(c)(2)(F), §§98.41, 98.16(j))

6.3.1 Are all family child care providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation? If:

- ☒ Yes. Answer 6.3.2, skip 6.3.3, and go to 6.4.
☐ No. Describe which family child care providers are exempt from licensing under State law and answer 6.3.2 and 6.3.3.

6.3.2 Have family child care provider requirements that relate to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

- ☐ Yes, and the changes are as follows:
☒ No

6.3.3 For family care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

6.4 Health and Safety Requirements for In-Home Providers (658E(c)(2)(F), §§98.41, 98.16(j))

6.4.1 Are all in-home child care providers paid with CCDF funds subject to licensing under the State law reflected in the NRCHSCC's compilation referenced above?

- ☐ Yes. Answer 6.4.2, skip 6.4.3, and go to 6.5.
☒ No. Describe which in-home child care providers are exempt from licensing under State law and answer 6.4.2 and 6.4.3.

If caring for four or less unrelated children, licensing is not required. If the caregiver is a relative, licensing is not required.

6.4.2 Have in-home health and safety requirements that relate to staff-child ratios, group size, or training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

- ☐ Yes, and the changes are as follows:
☒ No

6.4.3 For in-home care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)

Utah maintains a database of providers who are NOT licensed (exempt by Utah law). These providers self certify that they meet minimum health and safety standards, which include prevention and control of infectious disease. Records of age-appropriate child immunizations must be kept on file with the caregiver.

- Building and physical premises safety

License exempt providers must maintain a working telephone with emergency numbers posted near the telephone. Hazardous material must be stored in an area inaccessible to children. Providers must meet all local and state fire and safety requirements as defined by law. An approved fire extinguisher and smoke detectors on each floor occupied by children are required.

Licensed exempt providers who are participating in the Adult and Child Federal Food Program are subject to local Health and Fire Department inspections.

- Health and safety training

Licensed exempt providers may receive notification of training opportunities via their local child care resource and referral agency upon request. Available training includes CPR, First Aid, basic nutrition, and cleanliness.

6.5 Exemptions to Health and Safety Requirements

At Lead Agency option, the following relatives: grandparents, great grandparents, aunts, uncles, or siblings (who live in a separate residence from the child in care) may be exempted from health and safety requirements. (658P(4)(B), §98.41(a)(1)(ii)(A))

Indicate the Lead Agency's policy regarding these relative providers:

- ☒ **All** relative providers are subject to the same requirements as described in sections 6.1 - 6.4 above, as appropriate; there are **no exemptions** for relatives or different requirements for them.
- ☐ **All** relative providers are **exempt** from all health and safety requirements.
- ☐ **Some or all** relative providers are subject to different health and safety requirements from those described in sections 6.1 - 6.4. The following describes those requirements and identifies the relatives they apply to:

6.6 Enforcement of Health and Safety Requirements

Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements. (658E(c)(2)(E), §§98.40(a)(2), 98.41(d)) The following is a description of how health and safety requirements are effectively enforced:

- Are child care providers subject to routine unannounced visits (i.e., not specifically for the purpose of complaint investigation or issuance/renewal of a license)?
 - ☒ Yes, and the following indicates the providers subject to routine unannounced visits and the frequency of those visits:

Rule mandates annual unannounced inspections for all licensed and certified providers.

☐ No

- Are child care providers subject to background checks?
 - ☒ Yes, and the following types of providers are subject to background checks (indicate when such checks are conducted):

Background checks are conducted initially and at license renewal. All providers, owners, board members with more than 25% interest in the program, everyone 18 years old or older living in the home and center staff are all subject to background checks.

☐ No

- Does the State require that child care providers report serious injuries that occur while a child is in care? (Serious injuries are defined as injuries requiring medical treatment by a doctor, nurse, dentist, or other medical professional.)
☒ Yes, and the following describes the State's reporting requirements and how such injuries are tracked (if applicable):

If an injury requires 911 activation, the injury must be reported. The reports are then tracked by the Utah Department of Health School Injury Reporting System.

☐ No

- Other methods used to ensure that health and safety requirements are effectively enforced:

Announced inspections, complaint investigations, coordination with other agencies.

6.7 Exemptions from Immunization Requirements

The State assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the State public health agency. (§98.41(a)(1))

The State exempts the following children from immunization (check all that apply):

- ☐ Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).
- ☐ Children who receive care in their own homes.
- ☒ Children whose parents object to immunization on religious grounds.
- ☒ Children whose medical condition contraindicates immunization.

PART 7 **HEALTH AND SAFETY REQUIREMENTS IN THE TERRITORIES**

(Only the Territories complete Part 7.)

7.1 Health and Safety Requirements for Center-Based Providers in the Territories (658E(c)(2)(F), §98.41(a), §98.16(j))

For all center-based care, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

7.2 Health and Safety Requirements for Group Home Providers in the Territories (658E(c)(2)(F), §98.41(a), §98.16(j))

For all group home care, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

7.3 Health and Safety Requirements for Family Providers in the Territories

(658E(c)(2)(F), §98.41(a), §98.16(j))

For all family child care, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

7.4 Health and Safety Requirements for In-Home Providers in the Territories

(658E(c)(2)(F), §98.41(a), §98.16(j))

For all in-home care, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

7.5 Exemptions to Territorial Health and Safety Requirements

At Lead Agency option, the following relatives may be exempted from health and safety requirements: grandparents, great grandparents, aunts, uncles, or siblings (who live in a separate residence from the child in care). (658P(4)(B), §98.41(a)(1)(ii)(A)). Indicate the Lead Agency's policy regarding these relative providers:

- ☐ All relative providers are subject to the same requirements as described in sections 7.1 - 7.4 above, as appropriate; there are **no exemptions** for relatives or different requirements for them.
- ☐ All relative providers are **exempt** from all health and safety requirements.
- ☐ **Some or all** relative providers are subject to **different** health and safety requirements from those described in sections 7.1 - 7.4 and the following describes those different requirements and the relatives they apply to:

7.6 Enforcement of Territorial Health and Safety Requirements

Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements. (658E(c)(2)(E), §§98.40(a)(2), 98.41(d)) The following is a description of how Territorial health and safety requirements are effectively enforced:

Are child care providers subject to routine unannounced visits (i.e., not specifically for the purpose of complaint investigation or issuance/renewal of a license)?

- ☐ Yes, and the following indicates the providers subject to routine unannounced visits and the frequency of those visits:
- ☐ No

Are child care providers subject to background checks?

- ☐ Yes, and the following types of providers are subject to background checks (indicate when such checks are conducted):
- ☐ No

Does the Territory require that child care providers report serious injuries that occur while a child is in care? (Serious injuries are defined as injuries requiring medical treatment by a doctor, nurse, dentist, or other medical professional.)

- ☐ Yes, and the following describes the Territory's reporting requirements and how such injuries are tracked (if applicable):
- ☐ No

Other methods used to ensure that health and safety requirements are effectively enforced:

7.7 Exemptions from Territorial Immunization Requirements

The Territory assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the Territorial public health agency. (§98.41(a)(1))

The Territory exempts the following children from immunization (check all that apply):

- ☐ Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).
- ☐ Children who receive care in their own homes.
- ☐ Children whose parents object to immunization on religious grounds.
- ☐ Children whose medical condition contraindicates immunization.

APPENDIX 1
PROGRAM ASSURANCES AND CERTIFICATIONS

The Lead Agency, named in Part 1 of this Plan, assures that:

- (1) upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))
- (2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))
- (3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))
- (4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))
- (5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d))
- (6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))
- (7) that CCDF Discretionary funds are used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. (P.L. 106-554)

The Lead Agency also certifies that:

- (1) it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B))
- (2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))
- (3) it will collect and disseminate to parents of eligible children and the general public, consumer education information that will promote informed child care choices. (658E(c)(2)(D))
- (4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))
- (5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))
- (6) procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))
- (7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

APPENDIX 2 ELIGIBILITY AND PRIORITY TERMINOLOGY

For purposes of determining eligibility and priority for CCDF-funded child care services, lead agencies must define the following *italicized* terms. (658P, 658E(c)(3)(B))

- *attending* (a job training or educational program; include minimum hours if applicable) -

Utah's child care program supports job training and education for single parents who work an average of 15 hours or more a week. Utah also supports job training and education for two parent families when one parent is employed an average of 15 hours or more per week while the other parent works an average of 30 hours or more per week and neither parent is available to care for the children. Child care is approved to cover not more than 24 months to meet the training/education goal. For customer's obtaining a 4-year degree, only the last 24 months would be covered. For FEP parents, training/education participation is defined by employment plan goals.

- *in loco parentis* –
 1. Specified relatives may be eligible for child care subsidies when the child lives with the specified relative and the parent is not in the same home. Specified relative is defined as:
 - Grandparents
 - Brother or sister, including step, half, and adopted
 - Aunt or uncle
 - First cousin, nephew or niece
 - People of prior generations as designated by the prefix grand, great or great-great
 2. An unrelated adult who has legal custody of the child is treated the same as a parent.

- *job training and educational program* –

Utah supports students in adult basic education, any vocational, skills, or job readiness training, or courses that increase employability when the student is employed an average of 15 hours or more a week. For FEP participants, training/education activities are defined by the employment plan goals.

- *physical or mental incapacity* (if the Lead Agency provides such services to children age 13 and older) –

Children who are physically or mentally incapable of self-care as determined by an approved licensed professional, doctor, or agency.

- *protective services* –

Services necessary to prevent child abuse or neglect as determined by Department of Human Services, Division of Child and Family Services.

- *residing with* –

Children must live in the same household as the parent during the time period child care services are requested.

- *special needs child* –

Special needs children are children with identifiable mental and/or physical disabilities or incapacities requiring special child care services.

- *very low income* –

Families that are TANF eligible and/or homeless children who are income eligible.

- *working* (include minimum hours if applicable) –

Participating in full or part-time employment and making a wage equal to the federal minimum wage or prevailing local wage, whichever is less. The minimum work requirement for single parents is an average of 15 hours per week. The minimum work requirements for two parent families are an average of 15 hours per week for one parent and an average of 30 hours per week for the other parent. Child care is covered during the hours that neither parent is available to care for the children. Americorps Vista is treated as employment and the income is exempt.

- Additional terminology related to conditions of eligibility or priority established by the Lead Agency:

N/A